SVB WEALTH ADVISORY, INC. - Held NMS Stocks and Options Order Routing Public Report

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April 2021

S&P 500 Stocks

Summary

| | | | | | | | Non-Marketable | | |
|---------------------------|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|--------------------|-------------------|
| | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | (|

April 2021

Non-S&P 500 Stocks

Summary

| | | | | | | | Non-Marketable | | |
|---------------------------|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|---------------------------|-------------------|
| | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | (|

April 2021

Option Contracts

Summary

| | | | | | | | Non-Marketable | | |
|---------------------------|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|--------------------|-------------------|
| | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

May 2021

S&P 500 Stocks

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| | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |

May 2021

Non-S&P 500 Stocks

Summary

| | | | | | | | | Non-Marketable | | |
|---------------------------|---|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|--------------------|-------------------|
| | | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| | 9 | 100 | 3 | 88.89 | 1 | 11.11 | 0 | 0 | 0 | 0 |

Venues

| | Non-Directed | Non-Directed | | | Marketable Limit | Marketable Limit | Non-Marketable | Non-Marketable | |
|----------------------------------|--------------|--------------|---------------|------------------|------------------|------------------|----------------|-----------------|--------------|
| Venue - Non-directed Order Flow | Orders | Orders(%) | Market Orders | Market Orders(%) | Orders | Orders(%) | Limit Orders | Limit Orders(%) | Other Orders |
| VIRTU Americas, LLC(NITE) | 4 | 44.44 | 3 | 37.5 | 1 | 100 | 0 | 0 | 0 |
| G1 Execution Services, LLC(ETMM) | 2 | 22.22 | 2 | 25 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 2 | 22.22 | 2 | 25 | 0 | 0 | 0 | 0 | 0 |
| Citadel Securities LLC(CDRG) | 1 | 11.11 | 1 | 12.5 | 0 | 0 | 0 | 0 | 0 |

May 2021

Option Contracts

Summary

| · · · · · · · · · · · · · · · · · · · | | | | | | | | | |
|---------------------------------------|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|--------------------|-------------------|
| | | | | | | | Non-Marketable | | |
| | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | (|

June 2021

S&P 500 Stocks

Summary

| | | | | | | | Non-Marketable | | |
|---------------------------|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|---------------------------|-------------------|
| | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| 12 | 100 | 12 | 100 | 0 | 0 | 0 | 0 | 0 | (|

Venues

| | Non-Directed | Non-Directed | | | Marketable Limit | Marketable Limit | Non-Marketable | Non-Marketable | |
|---------------------------------|--------------|--------------|---------------|------------------|------------------|------------------|----------------|-----------------|--------------|
| Venue - Non-directed Order Flow | Orders | Orders(%) | Market Orders | Market Orders(%) | Orders | Orders(%) | Limit Orders | Limit Orders(%) | Other Orders |
| Citadel Securities LLC(CDRG) | 8 | 66.67 | 8 | 66.67 | 0 | 0 | 0 | 0 | (|
| JANE STREET CAPITAL, LLC(JNST) | 2 | 16.67 | 2 | 16.67 | 0 | 0 | 0 | 0 | (|
| VIRTU Americas, LLC(NITE) | 2 | 16.67 | 2 | 16.67 | 0 | 0 | 0 | 0 | (|

June 2021

Non-S&P 500 Stocks

Summary

| | | | | | | | Non-Marketable | | |
|---------------------------|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|--------------------|-------------------|
| | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| 61 | 100 | 58 | 95.08 | 0 | 0 | 3 | 4.92 | 0 | (|

Venues

| | Non-Directed | Non-Directed | | | Marketable Limit | Marketable Limit | Non-Marketable | Non-Marketable | |
|--------------------------------------|--------------|--------------|---------------|------------------|------------------|------------------|----------------|-----------------|--------------|
| Venue - Non-directed Order Flow | Orders | Orders(%) | Market Orders | Market Orders(%) | Orders | Orders(%) | Limit Orders | Limit Orders(%) | Other Orders |
| Citadel Securities LLC(CDRG) | 29 | 43.94 | 29 | 50 | 0 | 0 | 0 | 0 | 0 |
| VIRTU Americas, LLC(NITE) | 18 | 27.27 | 18 | 31.03 | 0 | 0 | 0 | 0 | 0 |
| JANE STREET CAPITAL, LLC(JNST) | 7 | 10.61 | 7 | 12.07 | 0 | 0 | 0 | 0 | 0 |
| Instinet BlockCross(BLKX) | 5 | 7.58 | 0 | 0 | 0 | 0 | 0 | 0 | 5 |
| Two Sigma Securities, LLC(SOHO) | 4 | 6.06 | 4 | 6.9 | 0 | 0 | 0 | 0 | 0 |
| Cboe EDGX US Equities Exchange(EDGX) | 2 | 3.03 | 0 | 0 | 0 | 0 | 2 | 66.67 | 0 |
| NASDAQ Execution Services, LLC(NSDQ) | 1 | 1.52 | 0 | 0 | 0 | 0 | 1 | 33.33 | 0 |

June 2021

Option Contracts

Summary

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|---|---------------------------|--------------------|--------------|-------------------|------------------|---------------------|------------------|-------------------|---------------------------|-------------------|
| | | Non-Directed | | Market Orders as | | Marketable Limit | Total Non- | Limit Orders as % | | Other Orders as % |
| | | Orders as % of All | Total Market | % of Non-Directed | Total Marketable | Orders as % of Non- | Marketable Limit | of Non-Directed | | of Non-Directed |
| 1 | Total Non-Directed Orders | Orders | Orders | Orders | Limit Orders | Directed Orders | Orders | Orders | Total Other Orders | Orders |
| Ī | 13 | 100 | 0 | 0 | 1 | 7.69 | 12 | 92.31 | 0 | 0 |

Venues

| | Non-Directed | Non-Directed | | | Marketable Limit | Marketable Limit | Non-Marketable | Non-Marketable | |
|---------------------------------------|--------------|--------------|---------------|------------------|------------------|------------------|----------------|-----------------|--------------|
| Venue - Non-directed Order Flow | Orders | Orders(%) | Market Orders | Market Orders(%) | Orders | Orders(%) | Limit Orders | Limit Orders(%) | Other Orders |
| Citadel Securities LLC(CDRG) | 13 | 54.17 | 0 | 0 | 0 | 0 | 13 | 56.52 | 0 |
| Susquehanna Capital Group(SUSQ) | 7 | 29.17 | 0 | 0 | 1 | 100 | 6 | 26.09 | 0 |
| Dash Financial Technologies LLC(DASH) | 2 | 8.33 | 0 | 0 | 0 | 0 | 2 | 8.7 | 0 |

| Morgan Stanley & Company LLC(MSCO) | 1 | 4.17 | 0 | 0 | 0 | 0 | 1 | 4.35 | 0 |
|--|---|------|---|---|---|---|---|------|---|
| Wolverine Execution Services LLC(WEXX) | 1 | 4.17 | 0 | 0 | 0 | 0 | 1 | 4.35 | 0 |